

**United States Court of Appeals for the Second Circuit**  
**Thurgood Marshall U.S. Courthouse**  
**40 Foley Square**  
**New York, NY 10007**

**DENNIS JACOBS**  
CHIEF JUDGE

**CATHERINE O'HAGAN WOLFE**  
CLERK OF COURT

Date: April 16, 2013  
Docket #: 12-5082cv  
Short Title: Graves v. Deutsche Bank Securities, Inc.

DC Docket #: 07-cv-5471  
DC Court: SDNY (NEW YORK CITY)  
DC Judge: Jones  
Fox

**NOTICE OF DEFECTIVE FILING**

On April 11, 2013 the Joint Appendix was submitted in the above referenced case.  
The document does not comply with the FRAP or the Court's Local Rules for the following reason(s):

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Inquiries regarding this case may be directed to 212-857-8506.